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## EVALUATOR MANUAL TRANSMITTAL SHEET

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**Distribution:**

☐ All Child Care Evaluator Manual Holders  
☒ All Residential Care Evaluator Manual Holders  
☐ All Evaluator Manual Holders

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To add sections 8-8000 through 8-8130 to the Reference Material.

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**Filing Instructions:**☐ REMOVE –☒ INSERT – This package in numerical order behind “Comprehensive Tools” tab.

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**Approved:**

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## PROCEDURES FOR COMPREHENSIVE EVALUATIONS OF SMALL FAMILY HOMES

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**8-8000 GENERAL STATEMENT****8-8000**

These procedures provide the protocol for conducting comprehensive visits to small family homes. Comprehensive visits to these facilities are required.

**The comprehensive visit evaluation tool has been divided into the following sections:**

- **PLANNING THE VISIT;** i.e. facility file review and gathering information to take into the field for reference.
- **CONDUCTING THE VISIT;** i.e. facility inspection, interviews and review of records.
- **THE FOLLOW UP;** i.e. technical assistance, documentation and communication with the placement agency.

**8-8010 PLANNING THE VISIT****8-8010**

There is a lot of work involved in the " Planning the Visit" stage. An effective compliance visit cannot be made without a thorough knowledge of the program and operating history. Do not make a visit unless you have gone through the following steps:

**Facility File Review**

Review the facility file and document the review on an Annual License Visit Checklist (LIC 9122). A Detail Supportive Information (LIC 812) may also be used. At the Licensing Program Supervisor's discretion, a new Licensing Program Analyst should review the file with the Licensing Program Supervisor or an experienced Licensing Program Analyst. To assure that the file contains complete and current documents, the following should occur:

- Check the license to ensure the information is current.
- Become familiar with the Plan of Operation. Note the types and frequency of services provided by the facility.
- Review the most recent Personnel Report (LIC 500). Note the names and job descriptions of staff. The staff hours should reflect adequate 24-hour coverage.
- Note any incomplete, outdated, or missing documents including surety bonds and administrative organizational information. Document this review on the LIC 9122. This form is intended for office use only, and is not provided to the facility. The Licensing Program Analyst may notify the licensee of the need to submit additional information either by mail or phone before the facility visit, or may notify the licensee during the visit.

**8-8010 PLANNING THE VISIT (Continued)****8-8010**

- All requests to the licensee for additional information must be documented in the facility file. For this purpose Licensing Program Analyst can document the request using the Facility Evaluation Report (LIC 809) or a Contact Sheet (LIC 185) or the LIC 812.
- Make note of the issues contained in informal conferences, compliance plans, non-compliance conferences and administrative actions.
- Check the file to determine if the services of the Technical Support Program were provided. Note the date, issues that led to the Technical Support Program referral, and specific areas covered in the consultation.
- Note any time-limited or client-specific documents, such as waivers and exceptions.
- Review all licensing reports including Advisory Notes (LIC 9102), documents from the placement agency, assessment of civil penalties and complaints generated in the past year. Look for any trends in types of complaints or deficiencies.
- Review the incident reports. The Licensing Program Analyst should be reviewing incident reports on a flow basis, however, the Licensing Program Analyst cannot be expected to remember all incidents that occur in a facility. The Licensing Program Analyst may decide, on a case by case basis, whether to review all or a limited number of reports. Look for any patterns such as the involvement of a particular staff or client or a trend in the types of incidents.

**Licensing Information System (LIS)**

Additional important information regarding the facility is available in the Licensing Program System:

- Obtain a current Facility Profile (LIS 055), review for accuracy and make changes as appropriate. Note any information in the "Comments" section such as special conditions and verify that the correct client population is identified.
- Obtain a current Facility Personnel Report Summary (LIS 531) from the Licensing Information System and compare the names to the LIC 500. Check for criminal record and child abuse index clearances for staff subject to these requirements.

**8-8010 PLANNING THE VISIT (Continued)****8-8010**

Depending on the facility history, the Licensing Program Analyst may conduct a pre-visit contact with the placement agency to discuss their experiences with the facility and/or plan a joint facility visit. If the placement agency is a Regional Center, this contact may be conducted as addressed in the Memorandum of Understanding.

**8-8020 PREPARING THE ANNUAL VISIT PACKAGE****8-8020**

The purpose of this package is to make the comprehensive visit more effective. It can serve to remind the Licensing Program Analyst of items to check or questions to ask, based on the information obtained during the planning phase. Some components listed may be accessible through the laptop computer at the time of the visit and obtaining a hard copy will not be necessary. Keeping in mind the importance **of safeguarding all confidential documents**, the following items should be available for reference at the time of the visit:

- A copy of previous licensing reports (LIC 809s).
- Personnel information including notes or copies of the current LIC 500 and Designation of Administrative Responsibility (LIC 308).
- Information on waivers and exceptions.
- A copy of the LIS 055 and LIS 531.
- Relevant regional center/placement agency documents.
- Records to be maintained at the facility (LIC 311E).
- Copy of the facility floor plan and fire clearance.
- Questions to ask the administrator, staff, and clients.

**In addition to the above information, blank copies of the following forms should also be available when making visits:**

- Facility Evaluation Report (LIC 809)
- Detail Supportive Information (LIC 812)
- Advisory Notes (LIC 9102)
- Client/Resident Records Review (LIC 858)

- Review of Staff/Volunteer records (LIC 859)

**8-8020 PREPARING THE ANNUAL VISIT PACKAGE (Continued)****8-8020**

- Facility Civil Penalty Assessment (LIC 421)
- Client Request: Health Relocation Order Review (LIC 9105A)

An Affidavit Regarding Client/Resident Cash Resources (LIC 400), LIC 500 and LIC 308 may also be taken to obtain updates if recent documents are not on file. A Forms Request (LIC 183) and a Proof of Correction (LIC 9098) should also be a part of the packet and offered when indicated.

**8-8030 CONDUCTING THE VISIT****8-8030**

The comprehensive evaluation visit is an overall assessment of the facility. The Licensing Program Analyst is responsible for evaluating compliance with all licensing laws and regulations, including areas where prior deficiencies were noted.

The visit is to be documented on the LIC 809, 858, 859, and if needed, LIC 812 and LIC 9102. Photographs may also be used in conjunction with the Facility Photography Report (LIC 813) or the LIC 812 to document findings.

Citations should be issued according to the protocols outlined in Evaluator Manual Sections 3-3000 et seq. and 3-4200 et seq. When deficiencies are cited, the Licensing Program Analyst must be able to justify the findings. The course of action must be discussed with a staff designated with administrative responsibility and/or licensee to ensure correction.

The visit should begin with the facility tour, followed by interviews with clients and staff, and then review of the client and personnel files. The Licensing Program Analyst may choose to alter the sequence when it is determined prudent to do so. Make sure that the facility is operating according to the waivers or exceptions e.g. check that any child-specific exception is not used for other children, and ensure that conditions still exist to warrant each exception and waiver.

The procedures specified below are to be used as minimum guidelines. The Licensing Program Analyst should use the following procedures when conducting the various components of the visit.

**8-8040 PHYSICAL PLANT REVIEW****8-8040**

The facility visit includes a walk-through to inspect the buildings, grounds and overall maintenance and operation. The Licensing Program Analyst shall conduct a complete review for compliance with all the applicable regulation sections. The staff should open unlocked doors to rooms that are designated for non-client use so that the Licensing Program Analyst can view the room.

**8-8040 PHYSICAL PLANT REVIEW (Continued)****8-8040**

Privacy should be respected if the Licensing Program Analyst has no specific reason for concern and does not observe obvious health and safety issues in the room.

The following can be used as a guide, but it is not all inclusive of the regulatory requirements that need to be reviewed.

- Telephones - Verify that there is a working telephone on the facility premises. If applicable, also review the facility's policies on telephone usage.
- Transportation - Verify the vehicle is in good operating condition. Verification may consist of interviewing staff, observing maintenance records and/or physical observation including checking for seat belts and child seats, if applicable.
- Health-Related Services - Verify adequacy of first aid supplies; verify storage of medication, including refrigeration.
- Food Services - Review for adequate supplies of perishable and non-perishable foods; storage; sanitary condition in food preparation areas; menus, including provisions for modified diets; cleanliness and adequacy of dishes and utensils; condition of appliances.
- Buildings and Grounds - Review for building changes/alterations; clients who are non-ambulatory reside in designated rooms; sufficient lighting is provided; operating signal systems (if required); adequate fencing or approved cover for bodies of water; all areas are free from potential hazards; exits are not obstructed; children can operate front door locks and are not locked in any room; proper storage of poisons, toxic substances, firearms, and other dangerous objects.
- Fixtures, Furniture, Equipment and Supplies - Review fixtures, e.g. toilets, sinks, showers/baths; solid waste disposal; inaccessibility of fireplace or heaters; adequacy of linens; review furniture for cleanliness and adequacy; availability of basic hygiene items; determine that faucets deliver water and the temperature of the hot water. If applicable, review for a current bacteriological analysis on private water source to establish the safety of the water.

**8-8050 CLIENT INTERVIEWS****8-8050**

Clients should be interviewed briefly when in the facility at the time of the facility visit and in a manner that is least disruptive. Evaluator Manual Section 3-2000 includes procedures for conducting interviews. Regulations require the licensee to allow private interviews, however; the Licensing Program Analyst or the child may request the presence of a third person.



**8-8050 CLIENT INTERVIEWS (Continued)****8-8050**

The licensee's permission is not required to interview the client. When a child objects to the interview, the Licensing Program Analyst shall honor this objection. To ensure confidentiality, the interview should occur away from facility staff and other clients.

The interview offers opportunity to observe and evaluate the physical appearance of the child. Issues that may be discussed include:

- Meals
- Personal rights
- Fire drills
- Activities

**8-8060 STAFF INTERVIEWS****8-8060**

The small family home comprehensive visit requires interviewing a sampling of facility personnel. The Licensing Program Analyst may interview additional staff by telephone. The purpose of the interview is to determine how knowledgeable staff is about the facility's policies, procedures and operations. Discussion questions may address the following:

- Familiarity with the needs of the clients in placement.
- How information is relayed among staff about each child.
- Specific staff responsibilities.
- Familiarity with medication procedures.
- Responding to emergencies.
- Knowledge of the clients' personal rights.
- Knowledge of reporting requirements.

**8-8070 FACILITY RECORD REVIEW****8-8070**

Review the facility's files to verify the following documentation is complete, current and posted when required:

- Facility license
- Activity plan
- Disaster and Mass Casualty Plan
- Discipline procedures
- Register of Clients
- Waivers

At this time, the Licensing Program Analyst may request any documents noted during the file review as incomplete or missing.

**8-8080 PERSONNEL RECORD REVIEW****8-8080**

The Licensing Program Analyst must select the files to be reviewed. Personnel records must be reviewed for completeness and accuracy. The Licensing Program Analyst should use the Review of Staff/Volunteer Records (LIC 859) to document the personnel file review, citing deficiencies when appropriate. Ten personnel records or 10 percent (which ever is greater) shall be reviewed.

Additional files may be reviewed at the Licensing Program Analyst's discretion. For example, the Licensing Program Analyst has not been to the facility before; the facility has a history of Type A deficiencies or civil penalty assessments.

- The LIC 500 may be used to select the files for review.
- Consideration should be given to new hires and staff mentioned frequently in incident reports.
- Verify that the individuals listed on the LIS 555 are current employees.
- Note any changes, such as terminated staff and new hires.
- Review files to verify completion of training including restricted health condition procedures.

**8-8090 CLIENT FILE REVIEW****8-8090**

The Licensing Program Analyst must select the files to be reviewed. Ten client files or 10 percent (whichever is greater) shall be reviewed. Additional files may be reviewed at the Licensing Program Analysts discretion. Existing regulations require the facility to provide a current Register of Clients, either the LIC 9020 or a comparable form.

The Licensing Program Analyst may randomly select the files from this list, or may select files for review using the following criteria:

- The child is mentioned in numerous incident reports.
- The child's file was not reviewed at the time of the previous annual visit.
- The child requires the facility to have an exception to remain in current placement.
- The child has a restricted health condition or special health care needs.

In addition to the overall review of the client files, the comprehensive visit requires a review of the child's Needs and Services Plan or Individual Program Plan.

- Are the child's Needs for Services or Individual Program Plan?
- Has the child's authorized representative approved the plan?
- Does the facility have qualified staff to provide the services specified in the Needs and Services Plan, e.g. the facility contracts out to health care professionals?
- In addition to review of the centrally stored medication records, the actual medication on hand should be viewed and compared against the records. Licensing Program Analyst may recommend a "start date " for medication to be added to the record keeping.

Using the Client/Resident Records Review (LIC 858), the files must be checked for completeness and accuracy, citing deficiencies when appropriate.

**8-8100 CONCLUDING THE VISIT****8-8100**

At the conclusion of the visit, the Licensing Program Analyst should be able to answer the following questions:

- What are the major components of the facility's general plan of operation?
- What does the facility do to ensure that staff is appropriately trained?
- What are the lines of communication; how is general facility information and client specific information relayed, e.g. at shift changes, and staff meetings?
- What is the staff's understanding of their responsibility to report abuse and special incidents?
- How does the facility staff respond to medical and other emergencies?
- What are the procedures for prescription medication, including but not limited to:
  - a. How does the staff ensure that each child's medication is always available in the facility?
  - b. What procedures are in place to prevent mistakes in distribution of medication and to safeguard medications?
  - c. What are the facility's procedures for over the counter, PRN and sample medications?
  - d. What does the staff do when a child refuses to take medication?
  - e. What are the policy and procedure for physician's orders given over the phone, e.g. medication dose alteration or discontinued medication?
  - f. What is the procedure for medications that are taken on outings or to school, work, or weekend visits?
- How does the facility ensure that child's personal rights are not violated?
- What is the overall physical condition of the facility and what are the facility's procedures for maintenance?

**8-8110 EXIT INTERVIEW****8-8110**

The Licensing Program Analyst shall conduct the exit interview as outlined in Evaluator Manual Section 3-4200. If the facility has only a few Type B violations relating to physical plant or record keeping issues and the facility history indicates substantial compliance and responsiveness to prior plans of correction, the LIC 9098 can be used to clear the violations cited.

**8-8120 FOLLOW UP****8-8120**

Once the visit is concluded, the Licensing Program Analyst should determine the need for intervention and make the following decisions:

- Should the Licensing Program Analyst discuss the facility with the Licensing Program Supervisor?
- Should the licensee come into the office for a compliance plan, informal or noncompliance conference.
- Should the Licensing Program Analyst provide information to the licensee/administrator regarding the Technical Support Program?
- Should the facility be referred to Legal for possible action against their license?

The Licensing Program Analysts work related to comprehensive visits does not end upon the conclusion of the visit. Plan of Correction due dates must be entered in the Control Book. An entry must be made when deficiencies are cleared or to indicate assessment of civil penalties.

After the comprehensive evaluation visit is completed, the Licensing Program Analyst shall send copies of the LIC 809 to the placement agency.

**The Licensing Program Analyst should contact the following as necessary:**

1. Community Care Licensing Division, Audit Section, e.g. potential trust audit.
2. Legal Division, e.g. potential or pending Temporary Suspension Order or revocation.
3. Other public agencies, e.g. local planning authority or fire authority Placement Agency.

**8-8130 POST VISIT, PLAN OF CORRECTION/CASE MANAGEMENT 8-8130**

The Licensing Program Analyst shall comply with the plan of correction protocols outlined in Evaluator Manual Section 3-3600 et seq. A copy of the LIC 809 clearing the violations cited during the visit should be sent to the placement agency.